



March 21, 2019

Informational Reporting - Electronic Filing of Data Files

The following steps contain information related to submitting electronic files for Informational Reporting for calendar year 2018.

The files may be uploaded to the North Carolina Department of Revenue (NCDOR) File Transfer Protocol (FTP) server beginning March 21, 2019. Details are listed in the sections below. The due date for providing this information to the NCDOR is July 1, 2019 and the NCDOR plans to inactivate this FTP server on July 15, 2019. If you encounter issues and need to upload or edit a file after this date, please email InfoReporting@ncdor.gov to coordinate the transmission.

Create Files Needed For Upload

- You should create your data files in accordance with the file layout and naming convention outlined in the letter dated March 21, 2019 - copy located at:
- <https://www.ncdor.gov/documents/updates-annual-information-reporting-required-ncdor>
- You should include all of fields in your files, even if some are empty. Please name your fields exactly as they appear in the instructions of your filing group.
- To ensure that your file is uploaded correctly, you will need to create a second file to validate the number of records included in your data file(s). For each data file you create, you will need to create a file for validation. The validation file should have the following attributes:
 - The contents of the validation file will only include the number of rows that were included in the matching data file. For example, if the data file contains 170,546 rows of data, the validation file will show “170546”.
 - No formatting and no other data should be included in the validation file.
 - The validation file should have the same format (.txt or .csv) as the data file.
 - The validation file should be the same name as the data file with “_CNT” (to represent count) added to the end of the file name. For example, if the

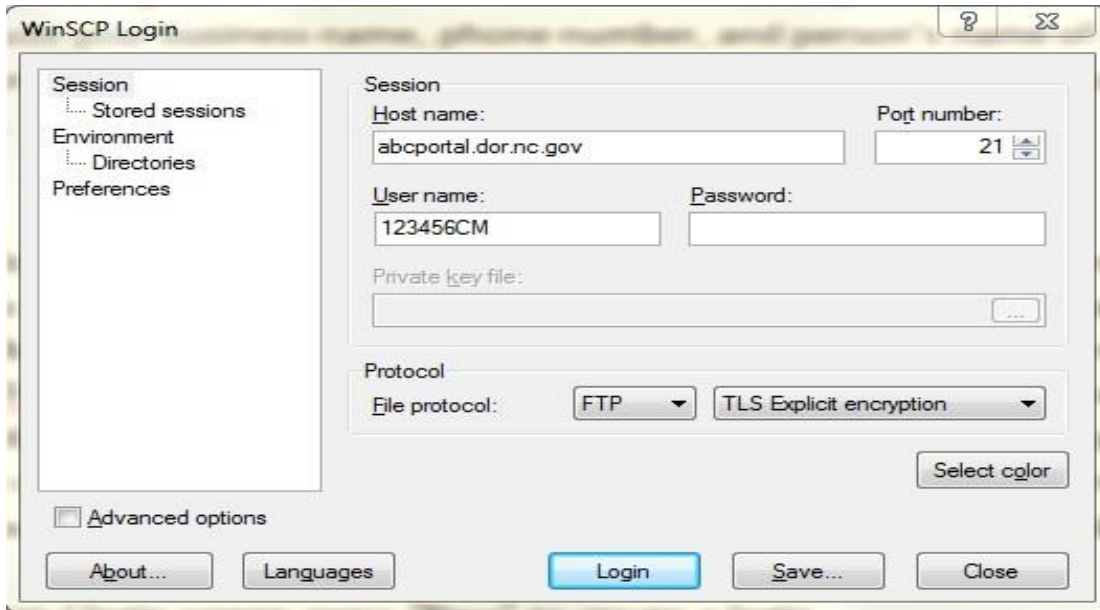
data file is named “ABC-2018-Johnston County ABC Board-20190701.txt“, then the validation file will be named “ABC-2018-Johnston County ABC Board-20190701_CNT.txt“.

Acquire Login ID and Password from the NCDOR

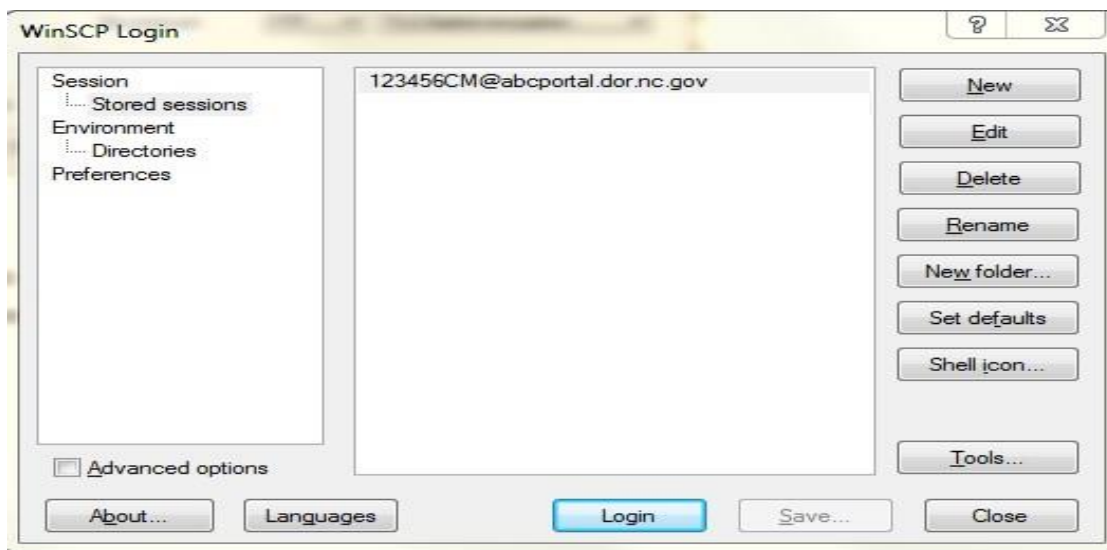
- Email request for login ID and password to the NCDOR at InfoReporting@ncdor.gov.
 - Include your business name, phone number, and contact person’s name.
- A NCDOR employee will call the contact person to provide the business login ID, password, and further instructions.

FTP Client Set-Up

- The user uploading the file will need to have an FTP client on his or her computer to handle the secure FTP process with the NCDOR. The FTP client will also need to support Transport Layer Security (TLS). Most computers have this, but if one is needed, an FTP client can be downloaded from the web, at no cost and can be found at <http://winscp.net>.
- “WinSCP” is the FTP client that the NCDOR has tested and recommends for this process. You may use another FTP client if you wish, but WinSCP is the client that the NCDOR can help support. In the instructions below, we have provided example screenshots from a WinSCP client (version 5.13.7). **Please note, your screen *might* appear slightly different depending upon the version you are using.** However, all of the required fields should be present.
- Once you have verified / downloaded your FTP client, you will first need to establish your login session.
- Double-Click on the FTP Client and create a new session.
- On the session / login screen press “New” to create a login. Key the following into the Login Screen:
 - Host Name: abcportal.dor.nc.gov ○ Port Number: 21
 - User Name: <Login ID provided by the NCDOR>. The Login ID is casesensitive.
 - Update File protocol: FTP
 - Specify Encryption as : TLS explicit encryption
 - **Do not fill in your password on this login screen. You will be prompted for it later.**



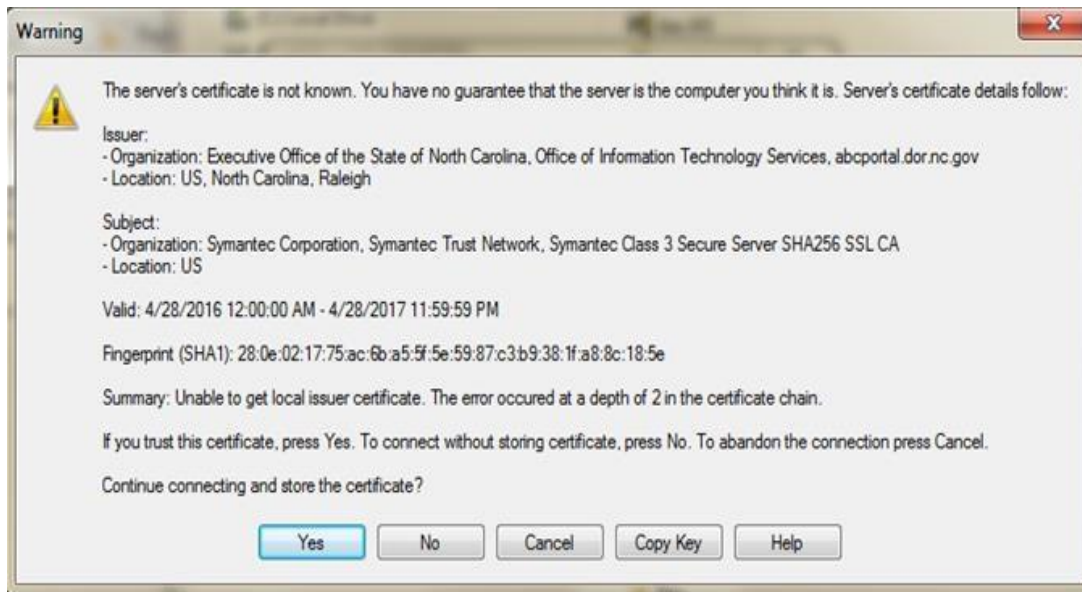
- Press “Save” to save the login information.
- Save the session name as your login id.
- Once saved, then click on “Stored sessions”, choose your login id, and press Login.



- You will be prompted for a password. Key the password provided by the NCDOR and press “OK”. The password is case-sensitive.
- You will have three login attempts. After three failed logins, your password will need to be reset.
 - If you need your password reset, you will need to email your login id, business name, contact person name, and phone number to InfoReporting@ncdor.gov.

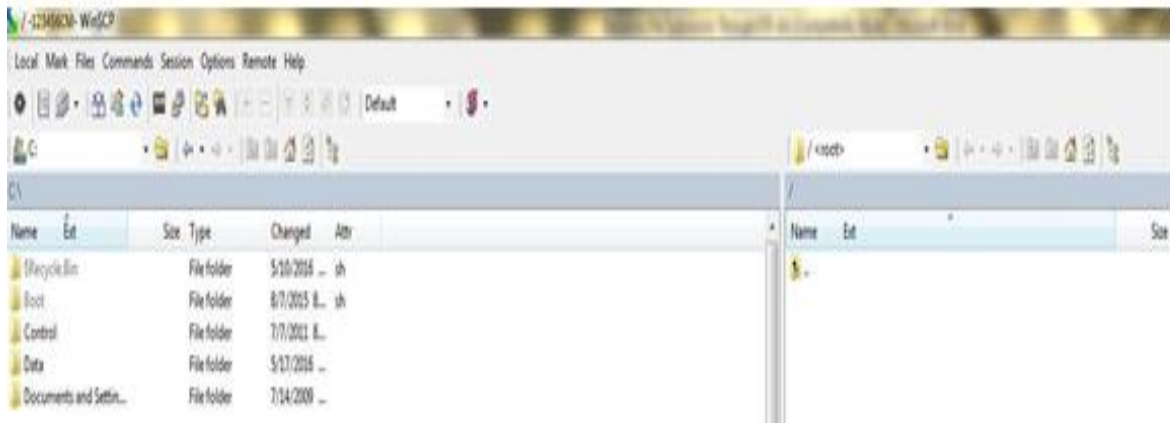
Once your password is reset, the NCDOR will call the contact person with your new password.

- During your first successful login, you might receive the following message. If you do, click “Yes” to proceed.



- Once logged in, your computer's files and folders will be located on the left. The NCDOR FTP folder, to which you have access, will be located on the right. It will be called "<root>" at the top of the screen. You will also see your login ID listed in the top left corner of the screen. For our example it shows "<root>-123456CM".

File



Upload Process

- Locate the file(s) you want to upload from your computer where you saved them. In the WinSCP example, the files to upload should be located on the left side of the screen. Once the file have been located.
- Drag and drop the files in the open space on the right. This will upload the files to your folder. The only data files types that can be uploaded are .txt and .csv files.

- Uploaded files should not require a password for opening the file. Do not add password protection for any files uploaded.
- Follow the file naming convention in section above named “Create Files Needed for Upload”.
- The combined file size of all files submitted by your entity cannot exceed five gigabytes. If the size of your combined files exceeds five gigabytes, please email InfoReporting@ncdor.gov to coordinate your upload.
- A file will not be uploaded if it contains a credit card number.
- After the upload, you will be able to read, update, or delete these files as needed.
- Larger files will take more time to upload through the FTP client. If during the upload process you receive a message stating that you have timed out, you may click “Reconnect”. This will reconnect your session and will automatically continue the upload process. After the upload process is done, you can open and review the files to check for completeness.
- If your file size is too large and you expect delays from the upload process, you may include and compress your .txt or .csv files within a WinZip file. The upload process will accept a WinZip file (.zip) as long as the contents of the file are .txt or .csv files. Once you have created the WinZip file, you may upload the file to the FTP server.
 - However, once uploaded, you will need to open the .zip file, move the .txt or .csv files directly to the FTP folder, and delete the .zip file. When completed, the only files that should remain within your destination folder are the .txt or .csv files.
- If you experience issues with the FTP file upload process, please email InfoReporting@ncdor.gov. In your email, please include your login id, your phone number, a screenshot of the error message you received, and a description of what you were doing at the time you received the message. NCDOR will review the information and contact you as soon as the issue can be researched.

Email the NCDOR that File Upload is Complete

- Email InfoReporting@ncdor.gov when you have completed your file upload. Your email should include your business name in the title of the email, with comments in the body of the email that your upload is complete. NCDOR will mark your file upload as completed, so you are not contacted again requesting the 2018 data.
- NCDOR may still contact you if there is a problem with your data file(s).